

UNITED STATES DISTRICT COURT  
EASTERN DISTRICT OF WASHINGTON

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3			
4	SAMANTHA L. JONES,	)	
5	Plaintiff,	)	No. CV-10-222-CI
6	v.	)	
7	MICHAEL J. ASTRUE,	)	ORDER GRANTING PLAINTIFF'S
8	Commissioner of Social	)	MOTION FOR SUMMARY JUDGMENT
9	Security,	)	AND REMANDING FOR ADDITIONAL
10	Defendant.	)	PROCEEDINGS PURSUANT TO
11		)	SENTENCE FOUR 42 U.S.C. §
12		)	405(g)
13		)	
14		)	

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BEFORE THE COURT are cross-Motions for Summary Judgment. (ECF No. 17, 19.) Attorney Maureen J. Rosette represents Plaintiff; Special Assistant United States Attorney David R. Johnson represents Defendant. The parties have consented to proceed before a magistrate judge. (ECF No. 7.) After reviewing the administrative record and briefs filed by the parties, the court **GRANTS** Defendant's Motion for Summary Judgment and **DENIES** Plaintiff's Motion for Summary Judgment.

**JURISDICTION**

Plaintiff Samantha L. Jones (Plaintiff) protectively filed for supplemental security income (SSI) and disability insurance benefits (DIB) on March 19, 2007. (Tr. 38, 106, 109.) Plaintiff alleged disability began March 31, 2007. (Tr. 106, 109.) Benefits were denied initially and on reconsideration. (Tr. 83, 94, 96.) Plaintiff requested a hearing before an administrative law judge (ALJ), which was held before ALJ Robert S. Chester on September 11, 2008. (Tr. 52-78.) Plaintiff was represented by counsel and testified at the hearing. (Tr. 55-70.) Vocational expert Tom Moreland also testified.

1 (Tr. 71-77.) ALJ Chester denied benefits and, after considering  
2 additional evidence submitted by Plaintiff, the Appeals Council denied  
3 review. (Tr. 1-6, 38-49.)

4 Jurisdiction to review the Secretary's decisions regarding  
5 disability benefits is governed by 42 U.S.C. § 405(g), which provides  
6 for review only of a "final decision of the Commissioner of Social  
7 Security made after a hearing." 42 U.S.C. § 405(g) (1988). When the  
8 Appeals Council denies review of claim, the ALJ's decision is a final  
9 decision subject to review. *Sims v. Apfel*, 530 U.S. 103, 106 (2000);  
10 *Osenbrock v. Apfel*, 240 F.3d 1157, 1160 (9<sup>th</sup> Cir. 2001); *McCarthy v.*  
11 *Apfel*, 221 F.3d 1119, 1122 (9<sup>th</sup> Cir. 2000).

#### 12 STATEMENT OF FACTS

13 The facts of the case are set forth in the administrative hearing  
14 transcripts and record and will, therefore, only be summarized here.

15 Plaintiff was 37 years old at the time of the hearings. (Tr.  
16 55.) Plaintiff graduated from high school. (Tr. 58.) She has work  
17 experience in retail as a layaway clerk, shipping order clerk, and a  
18 cashier and stocking clerk. (Tr. 59-61, 72-73.) She last worked in  
19 April 2007. (Tr. 58.) She alleges disability due to multiple  
20 sclerosis (MS), depression, hearing loss, carpal tunnel syndrome and  
21 vision loss. (Tr. 134.) Her last job was in a pharmacy. (Tr. 59-  
22 60.) She said she handed out wrong prescriptions due to difficulty  
23 hearing. (Tr. 59.) Plaintiff testified she stopped working because  
24 the fatigue was too much for her. (Tr. 59, 62.) She needed to take  
25 naps during the day for her fatigue. (Tr. 62.) Plaintiff testified  
26 her coordination, hearing and vision are also impaired. (Tr. 62.)  
27 She testified she sometimes gets dizzy spells and numbness in her  
28 hands and feet. (Tr. 65.) She uses a cane prescribed by her doctor,

1 but she does not use it all the time. (Tr. 55-56.) She also wears a  
2 brace for her foot prescribed by her physical therapist because when  
3 she gets tired she tends to walk on the outside of her foot. (Tr. 55-  
4 56.) Plaintiff wears hearing aids in both ears and she hears okay with  
5 them except in loud environments. (Tr. 56-57.) She takes medication  
6 for depression but does not receive mental health counseling. (Tr.  
7 64.)

#### 8 STANDARD OF REVIEW

9 Congress has provided a limited scope of judicial review of a  
10 Commissioner's decision. 42 U.S.C. § 405(g). A court must uphold the  
11 Commissioner's decision, made through an ALJ, when the determination  
12 is not based on legal error and is supported by substantial evidence.  
13 See *Jones v. Heckler*, 760 F. 2d 993, 995 (9<sup>th</sup> Cir. 1985); *Tackett v.*  
14 *Apfel*, 180 F. 3d 1094, 1097 (9<sup>th</sup> Cir. 1999). "The [Commissioner's]  
15 determination that a claimant is not disabled will be upheld if the  
16 findings of fact are supported by substantial evidence." *Delgado v.*  
17 *Heckler*, 722 F.2d 570, 572 (9<sup>th</sup> Cir. 1983) (citing 42 U.S.C. § 405(g)).  
18 Substantial evidence is more than a mere scintilla, *Sorenson v.*  
19 *Weinberger*, 514 F.2d 1112, 1119 n.10 (9<sup>th</sup> Cir. 1975), but less than a  
20 preponderance. *McAllister v. Sullivan*, 888 F.2d 599, 601-602 (9<sup>th</sup> Cir.  
21 1989); *Desrosiers v. Secretary of Health and Human Services*, 846 F.2d  
22 573, 576 (9<sup>th</sup> Cir. 1988). Substantial evidence "means such relevant  
23 evidence as a reasonable mind might accept as adequate to support a  
24 conclusion." *Richardson v. Perales*, 402 U.S. 389, 401 (1971)  
25 (citations omitted). "[S]uch inferences and conclusions as the  
26 [Commissioner] may reasonably draw from the evidence" will also be  
27 upheld. *Mark v. Celebrezze*, 348 F.2d 289, 293 (9<sup>th</sup> Cir. 1965). On  
28 review, the court considers the record as a whole, not just the

1 evidence supporting the decision of the Commissioner. *Weetman v.*  
2 *Sullivan*, 877 F.2d 20, 22 (9<sup>th</sup> Cir. 1989) (*quoting Kornock v. Harris*,  
3 648 F.2d 525, 526 (9<sup>th</sup> Cir. 1980)).

4 It is the role of the trier of fact, not this court, to resolve  
5 conflicts in evidence. *Richardson*, 402 U.S. at 400. If evidence  
6 supports more than one rational interpretation, the court may not  
7 substitute its judgment for that of the Commissioner. *Tackett*, 180  
8 F.3d at 1097; *Allen v. Heckler*, 749 F.2d 577, 579 (9<sup>th</sup> Cir. 1984).  
9 Nevertheless, a decision supported by substantial evidence will still  
10 be set aside if the proper legal standards were not applied in  
11 weighing the evidence and making the decision. *Browner v. Sec'y of*  
12 *Health and Human Services*, 839 F.2d 432, 433 (9<sup>th</sup> Cir. 1988). Thus,  
13 if there is substantial evidence to support the administrative  
14 findings, or if there is conflicting evidence that will support a  
15 finding of either disability or nondisability, the finding of the  
16 Commissioner is conclusive. *Sprague v. Bowen*, 812 F.2d 1226, 1229-  
17 1230 (9<sup>th</sup> Cir. 1987).

#### 18 SEQUENTIAL PROCESS

19 The Social Security Act (the "Act") defines "disability" as the  
20 "inability to engage in any substantial gainful activity by reason of  
21 any medically determinable physical or mental impairment which can be  
22 expected to result in death or which has lasted or can be expected to  
23 last for a continuous period of not less than 12 months." 42 U.S.C.  
24 §§ 423 (d)(1)(A), 1382c (a)(3)(A). The Act also provides that a  
25 Plaintiff shall be determined to be under a disability only if his  
26 impairments are of such severity that Plaintiff is not only unable to  
27 do his previous work but cannot, considering Plaintiff's age,  
28 education and work experiences, engage in any other substantial

1 gainful work which exists in the national economy. 42 U.S.C. §§  
2 423(d)(2)(A), 1382c(a)(3)(B). Thus, the definition of disability  
3 consists of both medical and vocational components. *Edlund v.*  
4 *Massanari*, 253 F.3d 1152, 1156 (9<sup>th</sup> Cir. 2001).

5 The Commissioner has established a five-step sequential  
6 evaluation process for determining whether a claimant is disabled. 20  
7 C.F.R. §§ 404.1520, 416.920. Step one determines if he or she is  
8 engaged in substantial gainful activities. If the claimant is engaged  
9 in substantial gainful activities, benefits are denied. 20 C.F.R. §§  
10 404.1520(a)(4)(I), 416.920(a)(4)(I).

11 If the claimant is not engaged in substantial gainful activities,  
12 the decision maker proceeds to step two and determines whether the  
13 claimant has a medically severe impairment or combination of  
14 impairments. 20 C.F.R. §§ 404.1520(a)(4)(ii), 416.920(a)(4)(ii). If  
15 the claimant does not have a severe impairment or combination of  
16 impairments, the disability claim is denied.

17 If the impairment is severe, the evaluation proceeds to the third  
18 step, which compares the claimant's impairment with a number of listed  
19 impairments acknowledged by the Commissioner to be so severe as to  
20 preclude substantial gainful activity. 20 C.F.R. §§  
21 404.1520(a)(4)(ii), 416.920(a)(4)(ii); 20 C.F.R. § 404, Subpt. P, App.  
22 1. If the impairment meets or equals one of the listed impairments,  
23 the claimant is conclusively presumed to be disabled.

24 If the impairment is not one conclusively presumed to be  
25 disabling, the evaluation proceeds to the fourth step, which  
26 determines whether the impairment prevents the claimant from  
27 performing work he or she has performed in the past. If plaintiff is  
28 able to perform his or her previous work, the claimant is not

1 disabled. 20 C.F.R. §§ 404.1520(a)(4)(iv), 416.920(a)(4)(iv). At  
2 this step, the claimant's residual functional capacity ("RFC")  
3 assessment is considered.

4 If the claimant cannot perform this work, the fifth and final  
5 step in the process determines whether the claimant is able to perform  
6 other work in the national economy in view of his or her residual  
7 functional capacity and age, education and past work experience. 20  
8 C.F.R. §§ 404.1520(a)(4)(v), 416.920(a)(4)(v); *Bowen v. Yuckert*, 482  
9 U.S. 137 (1987).

10 The initial burden of proof rests upon the claimant to establish  
11 a *prima facie* case of entitlement to disability benefits. *Rhinehart*  
12 *v. Finch*, 438 F.2d 920, 921 (9<sup>th</sup> Cir. 1971); *Meanel v. Apfel*, 172 F.3d  
13 1111, 1113 (9<sup>th</sup> Cir. 1999). The initial burden is met once the  
14 claimant establishes that a physical or mental impairment prevents him  
15 from engaging in his or her previous occupation. The burden then  
16 shifts, at step five, to the Commissioner to show that (1) the  
17 claimant can perform other substantial gainful activity, and (2) a  
18 "significant number of jobs exist in the national economy" which the  
19 claimant can perform. *Kail v. Heckler*, 722 F.2d 1496, 1498 (9<sup>th</sup> Cir.  
20 1984).

#### 21 ALJ'S FINDINGS

22 At step one of the sequential evaluation process, the ALJ found  
23 Plaintiff has not engaged in substantial gainful activity since March  
24 31, 2007, the alleged onset date. (Tr. 40.) At step two, he found  
25 Plaintiff has the following severe impairments: multiple sclerosis,  
26 bilateral hearing loss, and dysthymia. (Tr. 40.) At step three, the  
27 ALJ found Plaintiff does not have an impairment that meets or  
28 medically equals one of the listed impairments in 20 C.F.R. Part 404,

1 Subpt. P, App. 1. (Tr. 42.) The ALJ then found:

2 [C]laimant has the residual functional capacity to perform  
3 light work as defined in 20 CFR 404.1567(b) and 416.967(b)  
4 except that she could stand/walk at least 2 hours in an 8-  
5 hour workday with normal breaks, and sit about 6 hours in an  
6 8-hour workday with normal breaks. She would also need a  
7 sit/stand option. She should have only superficial contact  
8 with the general public. She would require the use of a  
9 cane to ambulate at times. She could occasionally climb a  
ramp or stairs, but must never climb a ladder, rope, or  
scaffolds. She could occasionally balance, stoop, kneel,  
crouch, and crawl. She could frequently accomplish gross  
and fine bilateral manipulation. She should avoid working  
in noisy areas. She should avoid working on unprotected  
heights and around dangerous machinery.

10 (Tr. 45.) At step four, the ALJ found Plaintiff is capable of  
11 performing past relevant work. (Tr. 48.) As a result, the ALJ  
12 concluded Plaintiff has not been under a disability as defined in the  
13 Social Security Act from March 31, 2007, through the date of the  
14 decision. (Tr. 49.)

#### 15 ISSUES

16 The question is whether the ALJ's decision is supported by  
17 substantial evidence and free of legal error. Specifically, plaintiff  
18 asserts the ALJ erred by: (1) failing to properly consider the  
19 statement of family, friends and coworkers; (2) failing to properly  
20 reject the opinions of treating physicians; and (3) concluding  
21 Plaintiff does not meet the listing for multiple sclerosis. (ECF No.  
22 18 at 9-17.) Defendant asserts: (1) the ALJ properly determined  
23 Plaintiff's multiple sclerosis was not disabling under the listing;  
24 and (2) new evidence submitted to the Appeals Council does not  
25 undermine the ALJ's findings. (ECF No. 20 at 7-16.)

#### 26 DISCUSSION

##### 27 1. Meets the Listing

28 Plaintiff argues she meets the criteria for disability under

1 listing 11.09 of 20 C.F.R. Part 404, Subpart P, Appendix 1 (20 C.F.R.  
2 § 416.920(d)). (ECF No. 18 at 13-14.) If Plaintiff meets the listed  
3 criteria for disability, she is presumed to be disabled. 20 C.F.R. §§  
4 404.1520(a)(4)(ii), 416.920(a)(4)(ii). The criteria for presumptively  
5 disabling multiple sclerosis is:

- 6 A. Disorganization of motor function as described in  
11.04B; or
- 7 B. Visual or mental impairment as described under the  
criteria in 2.02, 2.03, 2.04, or 12.02; or
- 8 C. Significant reproducible fatigue of motor function with  
9 substantial muscle weakness on repetitive activity,  
10 demonstrated on physical examination, resulting from  
neurological dysfunction in areas of the central  
11 nervous system known to be pathologically involved by  
the multiple sclerosis process.

12 20 C.F.R. Part 404, Subpt. P, App. 1, 11.09. The ALJ addressed each  
13 element of the listing specifically. (Tr. 42.) Plaintiff argues the  
14 objective evidence of fatigue is sufficient to meet subsection C of  
15 11.09. (ECF No. 18 at 13.)

16 The only evidence before the ALJ and cited by Plaintiff in  
17 support of her argument that she meets the listing is from Dr. Kanter  
18 who noted Plaintiff's reports of fatigue in March and June 2007.<sup>1</sup> (Tr.  
19 317, 322.) The ALJ also noted this evidence. (Tr. 42.) In fact, the  
20 ALJ observed that Plaintiff frequently complained of fatigue following  
21 her diagnosis of multiple sclerosis. (Tr. 42, 257, 327, 351, 426,  
22 430, 434, 454, 476.) However, the ALJ also observed that objective  
23 measures of muscle bulk and tone were always normal in the upper and  
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25 <sup>1</sup>Plaintiff also cited evidence from Dr. Pugh which was  
26 incorporated into the record but was not before the ALJ. (ECF No. 18  
27 at 13.) The ALJ could not err by failing to consider or improperly  
28 considering evidence not before him.



1 lower extremities and her strength was always 4 or 5 of 5. (Tr. 42-  
2 43, 322, 428, 435.) Additionally, Dr. Gould found that Plaintiff had  
3 a vitamin D deficiency and thought this might contribute to her  
4 fatigue and neuromuscular problems, which had been primarily  
5 attributed to multiple sclerosis. (Tr. 43, 479.) Therefore, the ALJ  
6 reasonably concluded the evidence reflects that Plaintiff does not  
7 meet listing 11.09 part C, which requires "significant reproducible  
8 fatigue of motor function with substantial muscle weakness on  
9 repetitive activity, demonstrated on physical examination." To the  
10 contrary, physical examination showed normal or almost normal muscle  
11 strength, bulk and tone.

12 Plaintiff cites no other evidence and makes no other argument  
13 describing how she meets listing 11.09. Plaintiff bears the burden of  
14 establishing she meets a listing. *Burch v. Barnhart*, 400 F.3d 676,  
15 683 (9<sup>th</sup> Cir. 2005). A generalized assertion of functional problems  
16 is not enough to establish disability at step three. *Tackett v.*  
17 *Apfel*, 180 F.3d 1094, 1100 (9<sup>th</sup> Cir. 1999). The evidence cited by the  
18 ALJ constitutes substantial evidence supporting his conclusion that  
19 Plaintiff does not meet or equal listing 11.09. As a result, the ALJ  
20 did not err.

21 **2. Dr. Pugh**

22 Plaintiff argues the ALJ failed to properly reject the opinions  
23 of treating physician Dr. Pugh. (ECF No. 18 at 10, 14-15.) In  
24 September 2005, Dr. Pugh completed a one-page form for Plaintiff's  
25 employer, Walmart, regarding Plaintiff's condition. (Tr. 223.) Dr.  
26 Pugh noted Plaintiff's diagnosis is multiple sclerosis and recommended  
27 a 24-hour work week because of fatigue. (Tr. 23.) Plaintiff argues  
28 the ALJ erred by failing to address this statement. However, the

1 statement from Dr. Pugh was submitted to the Appeals Council and was  
2 not before the ALJ.<sup>2</sup> The ALJ did not err by failing to address a  
3 statement that was not available to him.

4 Furthermore, even if the statement had been before the ALJ, there  
5 would be no error because Dr. Pugh's statement was written almost 18  
6 months before the alleged onset date of March 31, 2007. Plaintiff  
7 continued to work until April 2007. (Tr. 58.) Thus, Dr. Pugh's  
8 statement from September 2005 is not particularly probative to  
9 Plaintiff's disability claim commencing March 31, 2007. The ALJ need  
10 not discuss all evidence presented, but must explain why significant  
11 probative evidence has been rejected. *Vincent v. Heckler*, 739 F.2d  
12 1393, 1394-95 (9<sup>th</sup> Cir. 1984). As a result, there is no error with  
13 regard to Dr. Pugh's statement.

14 **3. Dr. Kanter**

15 Plaintiff argues the ALJ failed to properly reject the opinion of  
16 Dr. Kanter, a treating physician. In disability proceedings, a  
17 treating physician's opinion carries more weight than an examining  
18 physician's opinion, and an examining physician's opinion is given  
19 more weight than that of a non-examining physician. *Benecke v.*  
20 *Barnhart*, 379 F.3d 587, 592 (9<sup>th</sup> Cir. 2004); *Lester v. Chater*, 81 F.3d  
21 821, 830 (9<sup>th</sup> Cir. 1995). If a treating or examining physician's  
22 opinions are not contradicted, they can be rejected only with clear  
23 and convincing reasons. *Lester v. Chater*, 81 F.3d 821, 830 (9<sup>th</sup> Cir.  
24 1996). However, if contradicted, the ALJ may reject the opinion if he  
25 states specific, legitimate reasons that are supported by substantial

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27 <sup>2</sup>See discussion *infra* regarding the date of the evidence submitted  
28 to the Appeals Council.

1 evidence. See *Flaten v. Secretary of Health and Human Serv.*, 44 F.3d  
2 1453, 1463 (9<sup>th</sup> Cir. 1995) (citing *Magallanes v. Bowen*, 881 F.2d 747,  
3 753 (9<sup>th</sup> Cir. 1989); *Fair v. Bowen*, 885 F.2d 597, 605 (9<sup>th</sup> Cir. 1989).

4 Plaintiff argues the ALJ failed to reject Dr. Kanter's opinion  
5 that it was appropriate for her to quit work.<sup>3</sup> (ECF No. 18 at 15.)  
6 The ALJ discussed many of Dr. Kanter's records preceding the alleged  
7 onset date, but did not address Dr. Kanter's records closest to  
8 Plaintiff's alleged onset date. (Tr. 42.) In February 2007,  
9 Plaintiff reported increased numbness in her feet over the preceding  
10 two weeks and that she was a "little bit dizzy and a little more  
11 clumsy"; she reported she dragged her left foot when tired, and her  
12 left ankle was painful. (Tr. 324.) Although her strength was  
13 unchanged, she reported "quick thinking" was difficult and "[h]er  
14 fatigue was bad." (Tr. 324.) Dr. Kanter noted some weakness in her  
15 lower extremity and concluded she could be having a multiple sclerosis  
16 exacerbation or pseudo exacerbation. (Tr. 326.)

17 On March 27, 2007, Dr. Kanter saw Plaintiff and noted she  
18 reported it has been harder to concentrate lately which had led to  
19 some problems at work. (Tr. 321.) She was still dragging her feet  
20 when tired and "[h]er fatigue was bad." (Tr. 321.) Dr. Kanter  
21 opined, "Fatigue is a significant problem leading to concentration  
22 difficulties. This has led her to give up her job, which I think is  
23 appropriate." (Tr. 322.)

24 The ALJ failed to adequately address Dr. Kanter's opinion. A  
25 general summary of an opinion without specific reasons for rejecting  
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27 <sup>3</sup>It is noted that Defendant did not respond to Plaintiff's  
28 argument about the ALJ's failure to reject Dr. Kanter's opinion.

1 it is insufficient. *Salvador v. Sullivan*, 917 F.2d 13, 15 (9<sup>th</sup> Cir.  
2 1990). In fact, the ALJ seems to give weight to Dr. Kanter's records,  
3 citing them in support of the RFC finding. (Tr. 45-48.) Further, the  
4 ALJ stated, "the undersigned has given appropriate weight to the  
5 medical opinions of accepted medical sources." (Tr. 48.) However,  
6 the ALJ did not mention or reject Dr. Kanter's opinion that it was  
7 appropriate for Plaintiff to give up her job. (Tr. 42.) While the  
8 ALJ need not discuss every detail of every piece of evidence in the  
9 record, the opinion of a treating physician as to the appropriateness  
10 of a claimant's departure from work due to a medical condition is  
11 highly relevant. See *Vincent v. Heckler*, 739 F.2d 1393, 1394-95 (9<sup>th</sup>  
12 Cir. 1984). Therefore, the ALJ erred by failing to discuss or reject  
13 Dr. Kanter's opinion that it was proper for Plaintiff to quit work.

#### 14 **4. Evidence Submitted to Appeals Council**

15 Plaintiff argues evidence not before the ALJ but submitted to the  
16 Appeals Council justifies remand. (ECF No. 18 at 15-17.) By cover  
17 letter dated June 30, 2008, Plaintiff submitted employment records  
18 from Walmart dated September 26, 2002, through April 3, 2007, and  
19 statements from associates and co-workers date October 12, 2008,  
20 through October 27, 2008.<sup>4</sup> (Tr. 216.) However, it is noted that the  
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22 <sup>4</sup>Included in the Walmart employment records is the statement from  
23 Dr. Pugh dated September 8, 2005, indicating he recommended a 24-hour  
24 work week due to fatigue. (Tr. 223.) As noted *supra*, the September  
25 8, 2005, statement is not particularly relevant because Plaintiff  
26 engaged in substantial gainful activity after the date of the  
27 statement. Similarly, the employment records contain notes from Dr.  
28 Kanter excusing Plaintiff from work due to medical treatment or severe

1 cover letter addressed to the Appeals Council is dated before the date  
2 of the hearing on September 11, 2008, before the date of the ALJ's  
3 decision on October 2, 2008, and before the various October 2008 dates  
4 of the statements from associates and co-workers. (Tr. 49.) There is  
5 also a fax date stamp on the top of the cover letter dated November  
6 13, 2008. (Tr. 216.) The date of the cover letter therefore appears  
7 to be incorrect and does not establish that the ALJ "should have had"  
8 the records as Plaintiff alleges.<sup>5</sup> (ECF No. 18 at 15.)

9 Nonetheless, the court properly considers the records because  
10 they were considered by the Appeals Council in denying review.  
11 Records submitted to the Appeals Council are part of the record for  
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15 headaches between March 4, 2004, and March 14, 2005, (Tr. 226-27) and  
16 from ARNP Tupper excusing Plaintiff from work from September 26, 2002,  
17 to October 1, 2002, and July 27, 2005, to July 31, 2005, due to  
18 multiple sclerosis. (Tr. 228-29.) These notes also are not  
19 particularly relevant because they are dated before the alleged onset  
20 date.

21 <sup>5</sup>By cover letter dated January 21, 2010, Plaintiff submitted to  
22 the Appeals Council additional medical records from December 2009.  
23 (Tr. 29.) The Appeals Council determined the December 2009 records  
24 are about a time after the ALJ's decision and provided no basis for  
25 changing the ALJ's decision. Plaintiff does not argue the December  
26 2009 records undermine the ALJ's decision. The court concludes the  
27 2009 records submitted to the Appeals Council are not relevant to the  
28 period at issue.

1 review.<sup>6</sup> *Harman v. Apfel*, 211 F.3d 1172, 1179-80 (9th Cir. 2000)  
2 (concluding the district court properly considered new evidence  
3 submitted to the Appeals Council because the Appeals Council addressed  
4 those materials in denying review); *Ramirez v. Shalala*, 8 F.3d 1449,  
5 1451-52 (9th Cir. 1993) (noting district court reviewed all materials  
6 including evidence not before the ALJ when Appeals Council declined to  
7 accept review). Thus, this court considers the evidence from  
8 Plaintiff's employer and the statements of Plaintiff's friends and co-  
9 workers submitted to the Appeals Council in reviewing the ALJ's  
10 decision. Defendant concedes the evidence is before the court and the  
11 court agrees: "Thus, this Court is limited to judging whether the new  
12 evidence undermines the Commissioner's final decision (which is the  
13 ALJ's decision), rather than judging the Appeals Council's decision."  
14 (ECF No. 20 at 11.)

15 Plaintiff submitted ten statements from people who worked with  
16 her at Walmart, most of whom worked with Plaintiff up to five years  
17 before the alleged onset date. (Tr. 230-43.) Several statements  
18 noted Plaintiff had been a hard worker and good with customers but  
19 noted observations of Plaintiff's physical deterioration and struggles  
20 to keep working. (Tr. 230, 238, 243.) Many of the letters detailed  
21 Plaintiff's difficulties ambulating and observations about the  
22 difficulty of traveling the length of the store to use the restroom or  
23 clock in or out. (Tr. 231, 232, 235 236, 242.) One statement noted  
24 Plaintiff took four times as long to stock shelves as other employees  
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26 <sup>6</sup>There is a split among the circuits on this issue. The Ninth  
27 Circuit follows majority rule. *See Mills v. Apfel*, 244 F.3d 1, 4 (1st  
28 Cir. 2001) (discussing circuit split).

1 and would be in pain and "washed out" afterward. (Tr. 237.) Another  
2 co-worker indicated Plaintiff used to refuse her offers of a ride home  
3 from work, preferring to walk 8-12 blocks after an 8-hour shift.  
4 Shortly before Plaintiff stopped working, this co-worker observed  
5 Plaintiff struggle for 3-4 minutes to walk a distance of 10 feet; the  
6 co-worker then got a wheelchair for Plaintiff to assist in returning  
7 her to her work station at the pharmacy. (Tr. 243.)

8 In total, the statements appear to be compelling evidence of  
9 Plaintiff's declining ability to work. They are relevant to  
10 Plaintiff's limitations and condition at the alleged date of onset,  
11 around the time Plaintiff stopped working. The court concludes there  
12 is a reasonable possibility that the ALJ would change the decision  
13 upon reviewing these numerous statements from disinterested parties  
14 who were in a position to observe Plaintiff's limitations at work.  
15 Because this matter also is remanded on other grounds, the court need  
16 not decide whether the records submitted to the Appeals Council  
17 justify remand. The ALJ should consider the statements of Plaintiff's  
18 co-workers upon review.

#### 19 CONCLUSION

20 Having reviewed the record and the ALJ's findings, this court  
21 concludes the ALJ's decision is not supported by substantial evidence  
22 and is based on legal error. Remand consistent with this decision is  
23 necessary. Upon remand, the ALJ shall reconsider the opinion of Dr.  
24 Kanter and shall consider the entire record, including the evidence  
25 submitted to the Appeals Council. Accordingly,

#### 26 IT IS ORDERED:

27 1. Plaintiff's Motion for Summary Judgment (**Ct. Rec. 17**) is  
28 **GRANTED**. The matter is remanded to the Commissioner for additional

1 proceedings pursuant to sentence four 42 U.S.C. § 405(g).

2 2. Defendant's Motion for Summary Judgment (**Ct. Rec. 19**) is  
3 **DENIED.**

4 3. An application for attorney fees may be filed by separate  
5 motion.

6 The District Court Executive is directed to file this Order and  
7 provide a copy to counsel for Plaintiff and Defendant. Judgment shall  
8 be entered for Plaintiff and the file shall be **CLOSED.**

9 DATED December 1, 2011.

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11 S/ CYNTHIA IMBROGNO  
12 UNITED STATES MAGISTRATE JUDGE  
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